

# **Alabama Sickle Cell Oversight and Regulatory Commission**



## **Functional Analysis & Records Disposition Authority**

**Presented to the  
State Records Commission  
April 26, 2002**

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# **Functional and Organizational Analysis of the Alabama Sickle Cell Oversight and Regulatory Commission**

## **Sources of Information**

- Representative of the Sickle Cell Oversight and Regulatory Commission
- Code of Alabama 1975 § 22-10B-1 to § 22-10B-7
- Code of Alabama 1975 § 41-20-1 to § 41-20-16 (Sunset Law)
- Code of Alabama 1975 § 41-22-1 to 41-22-27 (Administrative Procedures Act)
- Sickle Cell Oversight and Regulatory Commission Audit Report (1996-2000)

## **Historical Context**

The Alabama Sickle Cell Oversight and Regulatory Commission was established in 1996 by the legislature (Acts 1996 No. 96-727, p. 1219, 1). This commission was created to insure delivery of sickle cell services to the people of Alabama.

## **Agency Organization**

The commission consists of twelve members. Two members of the commission are appointed by the governor. One member is appointed by the University of South Alabama Comprehensive Sickle Cell Center, one by the University of Alabama-Birmingham, and one by the Children's Hospital in Birmingham. Additional members include one representative from each chapter of the Sickle Cell Disease Association of America-Alabama chapter. All appointees must be approved by the Senate. Three officers are appointed by the commission, including a chairman, vice-chairman, and secretary/treasurer. In the event that a member dies or steps down, a new member is appointed to take his/her place. The commission contracts with the Sickle Cell Foundation of Greater Montgomery to handle the commission's business. An organizational chart is attached.

## **Agency Function and Subfunctions**

The mandated function of the commission is to ensure the delivery of sickle cell services to all affected persons in the state of Alabama. The commission also assists in establishing geographic service delivery boundaries. It is one of the agencies responsible for performing the Client Services function of Alabama government.

In the performance of its mandated function, the agency may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** In accordance with the Administrative Procedures Act (Code of Alabama 1975 § 41-22-3), the commission has the authority to prescribe rules and regulations for certification to receive funding. The commission also develops the appropriate procedures or techniques for the establishment and

promulgation of rules, regulations, and procedures for carrying out its duties and responsibilities.

- **Screening Agencies for Funding.** The Sickle Cell Oversight and Regulatory Commission provides funding for two different types of entities. Centers are affiliated with either hospitals or universities and are oriented more towards research on the sickle cell disease. Chapters (also known as foundations) are community-based organizations which provide support services to those who may be faced with this condition. Currently, there are seven chapters and three centers across the state. Although both types of entities provide basic screening, the difference lies in research versus service.

Each agency completes an application and submits it to the commission. The commission has a one-year period to review the application. The commission then inspects the agency and completes a report indicating whether or not the agency is approved for funding. This report is filed with the application. Once a chapter or center has been approved, they are approved permanently.

- **Monitoring Performance.** Three members of the commission are appointed to serve as the monitoring committee. This monitoring committee performs onsite visits every two years and compiles a report for the commission.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

**Managing the Agency:** Activities include internal office management activities common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

**Managing Finances:** Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

# Analysis of Record Keeping System and Records Appraisal of the Alabama Sickle Cell Oversight and Regulatory Commission

## Agency Record Keeping System

The Alabama Sickle Cell Oversight and Regulatory Commission operates a hybrid system composed of paper and electronic records.

**Computer Systems:** The commission uses basic personal computers for generating reports and assembling other information.

## Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Sickle Cell Oversight and Regulatory Commission: Temporary Records and Permanent Records.

**I. Temporary Records.** Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met.

- **Final Denial Reports for Funding.** These reports are created when an applicant for funding has been denied. This report specifies why the agency was denied approval. The commission and applicants use this as a reference as to why they were denied. The recommended retention is six years after the record has been created.
- **Biennial Reports.** These reports are kept by the commission to record the monitoring visits to various facilities. The visits are conducted every two years by three appointed members of the commission. The commission uses these reports to track how well the chapters and centers are upholding the quality of service to sickle cell patients. The retention is ten years after the record has been created.
- **Application Files.** These records are created when an outside agency applies for public funding. The files include basic information regarding the agency, its personnel, as well as information on services rendered by the agency. The information received on applications for centers and chapters is the same. The commission uses this file to determine eligibility for funding. It can be up to a year before the application is approved. To comply with audit requirements and reference needs, the commission would like to retain the files for six years.
- **Commission Grant Proposals.** These records are created by the commission for the Department of Finance to recommend public funding for approved outside agencies. The records document that centers and chapters are fulfilling their duties by reporting their budgets each month. The record also recommends the amount of funding the commission

proposes for the next year. To meet administrative and audit needs, recommended retention is six years after record has been created.

- **Final Approval Reports for Funding.** These reports contain the final approval decisions on various agencies seeking funding for their organization. The records provide documentation that the agency has been approved for funding. Due to administrative needs and audit requirements, recommended retention is ten years.

**II. Permanent Records.** The Government Records Division recommends the following records as permanent.

### **Promulgating Rules and Regulations**

- **Meeting Minutes and Orders of the Commission.** The commission is mandated to keep these records. These records document the decisions of the commission in screening funding for agencies serving patients with sickle cell conditions. (**Bibliographic Title: Meeting Minutes**)

### **Screening Agencies for Funding**

The commission currently creates no permanent records under this subfunction.

### **Monitoring Performance**

The commission currently creates no permanent records under this subfunction.

### **Administering Internal Operations**

Records documenting this subfunction are found in the agency's minutes of the board as described in the Promulgating Rules and Regulations subfunction.

**Permanent Records List  
Alabama Sickle Cell Oversight and  
Regulatory Commission**

**Promulgating Rules and Regulations**

1. Meeting Minutes and Orders of the Commission

# **Alabama Sickle Cell Oversight and Regulatory Commission Records Disposition Authority**

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama Sickle Cell Oversight and Regulatory Commission. The RDA lists records created and maintained by the Alabama Sickle Cell Oversight and Regulatory Commission in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Sickle Cell Oversight and Regulatory Commission to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

## **Explanation of Records Requirements**

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Sickle Cell Oversight and Regulatory Commission's records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back

messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Alabama Sickle Cell Oversight and Regulatory Commission and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

### **Promulgating Rules and Regulations**

#### **MEETING MINUTES AND ORDERS OF THE COMMISSION**

Disposition: PERMANENT RECORD.

### **Screening Agencies for Funding**

#### **Applicant Files**

Disposition: Temporary Record. Retain 6 years after the records were created.

#### **Commission Grant Proposals**

Disposition: Temporary Record. Retain 6 years after the records were created.

#### **Final Approval Reports for Funding**

Disposition: Temporary Record. Retain 10 years after the records were created.

#### **Final Denial Reports for Funding**

Disposition: Temporary Record. Retain 6 years after the records were created.

### **Monitoring Performance**

#### **Biannual Reports**

Disposition: Temporary Record. Retain 10 years after the records were created.

### **Administering Internal Operations: Managing the Agency**

#### **Routine Correspondence**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Commission Member Files**

Disposition: Temporary Record. Retain 3 years after the commission member has left office.

**Mailing Lists**

Disposition: Temporary Record. Retain for useful life.

**Administrative Reference Files**

Disposition: Temporary Record. Retain for useful life.

**Records documenting the implementation of the agency's approved RDA (copies of transmittal forms to Archives or the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Copy of RDA**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

**System documentation (hardware/software manuals and diskettes, warranties, Y2K Records)**

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

**Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies**

Disposition: Temporary Record. Retain 3 years.

**Administering Internal Operations: Managing Finances****Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Records of original entry or routine accounting transactions such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and cancelled checks**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Contractual records established for the purpose of services or personal property**

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

**Records documenting the bid process, including requests for proposals and unsuccessful responses**

- a. Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over \$7500  
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

**Agency Audit Reports**

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

## **Approval of Records Disposition Authority (RDA)**

By signing this agreement, the Alabama Sickle Cell Oversight and Regulatory Commission acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Alabama Sickle Cell Oversight and Regulatory Commission will designate a managerial position as the agency records officer. This position is responsible for ensuring the development of quality record-keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, submitting an annual report on records management activities to the State Records Commission in April of each year, and ensuring the regular implementation of the agency's approved RDA.
- Permanent records in the Alabama Sickle Cell Oversight and Regulatory Commission's custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Alabama Sickle Cell Oversight and Regulatory Commission agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the agency and to inspect records destruction documentation. Government Records Division archivists are available to train the agency's staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this Records Disposition Authority on April 26, 2002.

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Edwin C. Bridges, Chairman  
State Records Commission

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Date

Receipt acknowledged:

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Willie Strain, President  
Alabama Sickle Cell Oversight and Regulatory Commission

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Date